Comparison of Grammar-Based and Statistical Language Models Trained on the Same Data

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Abstract

This paper compares performance of a linguistically motivated probabilistic context free grammar-based (L-PCFG) language model against a base line class ngram-based language model on data from a medium vocabulary application, the Clarissa International Space Station procedure navigator domain. The Regulus open source package makes this possible by providing a trainable method for constructing domain specific grammars with logical-form semantics. We construct L-PCFG-based and n-gram language models from the same corpus for comparison, and find that the L-PCFGbased language model provides better performance in this domain. The best n-gram version has a semantic error rate of 9.6%, while the best GLM version has an error rate of 6.0%. Part of this advantage is accounted for by the superior WER and Sentence Error Rate (SER) of the GLM (WER 7.42% versus 6.27%, and SER 12.41% versus 9.79%). The rest is most likely accounted for by the fact that the L-PCFG architecture is able to use logical-form-based features, which permit tighter integration of recognition and semantic interpretation.

Introduction

The test domain for this paper is the Clarissa procedure navigator (Rayner & Hockey 2004; Clarissa 2005), a spoken dialogue system designed to assist astronauts on the International Space Station (ISS) in executing the type of detailed procedures that constitute much of their workload. This system, installed on the ISS in January 2005, provides handsand eyes-free navigation of procedures through a mixed-initiative dialogue interface.

Speech recognition for spoken dialogue systems poses problems different from those that arise in large vocabulary applications. In novel command and control domains, there is typically no data at the start of the project; even with data collection efforts, the amount of training data will always be modest. The important metric is performance on task relevant semantic interpretation; word and sentence error rates are interesting only to the extend they correlate with semantic accuracy. Any type of spoken dialogue system has to steer a course between two basic speech recognition and language processing strategies. At one end, the system can try

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to adapt to the user. The implementors collect data representing what users would ideally like to be able to say, after which the system is confi gured to perform as well as possible on the sample data. At the other end of the scale, the burden of adaptation is put on the user: the system is designed to offer a predefined range of coverage, which the user is required to learn. In practice, of course, some compromise between these two positions is normal.

For the Clarissa domain, astronauts, the target users, are far from being typical users; they are highly intelligent, willing to invest time in learning to use the system, and in most cases come from an aeronautics background where use of controlled language is the norm. For this kind of user, a designed coverage approach has clear attractions; performance for expert users is better (Knight *et al.* 2001), and it is easier to reconfigure the system in response to changes in the specification. CommandTalk (Stent *et al.* 1999) is another example of a successful command and control application where designed coverage worked well with a user base familiar with controlled language.

While these factors biased us in favor of the rule-based language modeling approach that the Clarissa system uses for speech recognition, we wanted to implement a framework which would allow us to compare our methods against more standard approaches based on class n-gram language modeling and phrase-spotting. We reasoned that this both would be interesting in its own right, and would also retain the option of switching from the rule-based framework to the n-gram/phrase-spotting one if that later appeared justified. The Regulus (Rayner, Hockey, & Dowding 2003; Regulus 2005) and Alterf (Rayner & Hockey 2003) platforms, which we have developed under Clarissa and other earlier projects, are designed to meet these requirements

The basic idea behind the Regulus platform is to construct linguistically motivated probabilistic context free grammar (L-PCFG) language models, using example-based methods driven by small corpora. Since, under this approach, grammar construction is a corpus-driven process, the same corpora can also be used to build n-gram language models, facilitating a direct comparison between the two methodologies. On its own, however, Regulus only permits comparison at the level of recognition strings. Alterf extends the paradigm to the semantic level, by providing a uniform trainable semantic interpretation framework which can work on

either surface strings or logical forms.

Exploiting the properties of Regulus and Alterf, this paper presents an evaluation of the Clarissa system's speech understanding component, and describes a methodologically sound comparison between the implemented rule-based architecture and a plausible n-gram/phrase-spotting counterpart. The structure of the paper provides in the the next two sections an overview of Regulus and Alterf respectively. Then, we describe how we have used Regulus and Alterf in Clarissa. Next, we evaluate language understanding performance, and the fi nal section concludes.

Regulus

The core functionality provided by the Regulus Open Source platform is compilation of typed unification grammars into annotated context-free grammar language models expressed in Nuance Grammar Specification Language (GSL) notation (Nuance 2005). GSL language models can be converted into runnable speech recognizers by invoking the Nuance Toolkit compiler utility, so the net result is the ability to compile a unification grammar into a speech recognizer.

Experience with rule-based spoken dialogue systems shows that there is usually a substantial overlap between the structures of grammars for different domains. This is hardly surprising, since they all ultimately have to model general facts about the linguistic structure of English and other natural languages. It is consequently natural to consider strategies which attempt to exploit the overlap between domains by building a single, general grammar valid for a wide variety of applications. A grammar of this kind will probably offer more coverage (and hence lower accuracy) than is desirable for any given specific application. It is however feasible to address the problem using corpus-based techniques which extract a specialized version of the original general grammar.

Regulus implements a version of the grammar specialization scheme which extends the Explanation Based Learning method described in (Rayner, Hockey, & Dowding 2002). There is a general unification grammar, loosely based on the Core Language Engine grammar for English (Pulman 1992), which has been developed over the course of about ten individual projects. The semantic representations produced by the grammar are in a simplified version of the Core Language Engine's Quasi Logical Form notation (van Eijck & Moore 1992).

A specialized Nuance grammar is created from the general grammar in the following processing stages:

- 1. The training corpus is converted into a "treebank" of parsed representations. This is done using a left-corner parser representation of the grammar.
- The treebank is used to produce a specialized grammar in Regulus format, using the EBL algorithm (van Harmelen & Bundy 1988; Rayner 1988).
- 3. The fi nal specialized grammar is compiled into a Nuance GSL grammar.

The training corpus is then used a second time to perform probabilistic training on the resulting GSL language model

using the Nuance compute-grammar-probs utility, and the resulting probabilistic context free (PCFG) version of the language model is compiled into a recognition package using the nuance-compile utility.

Alterf

Alterf is another Open Source toolkit, whose purpose is to allow a clean combination of rule-based and corpus-driven processing in the semantic interpretation phase. Alterf characterises semantic analysis as a task slightly extending the "decision-list" classification algorithm (Yarowsky 1994; Carter 2000). We start with a set of *semantic atoms*, each representing a primitive domain concept, and define a semantic representation to be a non-empty set of semantic atoms. For example, in Clarissa we represent the utterances

please speak up set an alarm for fi ve minutes from now no i said go to the next step respectively as

```
{increase_volume}
{set_alarm, 5, minutes}
{correction, next_step}
```

where increase_volume, set_alarm, 5, minutes, correction and next_step are semantic atoms. As well as specifying the permitted semantic atoms themselves, we also define a *target model* which for each atom specifies the other atoms with which it may legitimately combine. Thus here, for example, correction may legitimately combine with any atom, but minutes may only combine with correction, set_alarm or a number.

Training data consists of a set of utterances, in either text or speech form, each tagged with its intended semantic representation. We define a set of *feature extraction rules*, each of which associates an utterance with zero or more features. Feature extraction rules can carry out any type of processing. In particular, they may involve performing speech recognition on speech data, parsing on text data, application of hand-coded rules to the results of parsing, or some combination of these. Statistics are then compiled to estimate the probability $p(a \mid f)$ of each semantic atom a given each separate feature f, using the standard formula

$$p(a \mid f) = (N_f^a + 1)/(N_f + 2)$$

where N_f is the number of occurrences in the training data of utterances with feature f, and N_f^a is the number of occurrences of utterances with both feature f and semantic atom a.

The decoding process follows (Yarowsky 1994) in assuming complete dependence between the features. Note that this is in sharp contrast with the Naive Bayes classifier (Duda, Hart, & Stork 2000), which assumes complete *independence*. Of course, neither assumption can be true in practice; however, as argued in (Carter 2000), there are good reasons for preferring the dependence alternative as the better option in a situation where there are many features extracted in ways that are likely to overlap.

We are given an utterance u, to which we wish to assign a representation R(u) consisting of a set of semantic atoms,

together with a target model comprising a set of rules defining which sets of semantic atoms are consistent. The decoding process proceeds as follows:

- 1. Initialise R(u) to the empty set.
- 2. Use the feature extraction rules and the statistics compiled during training to find the set of all triples $\langle f, a, p \rangle$ where f is a feature associated with u, a is a semantic atom, and p is the probability $p(a \mid f)$ estimated by the training process.
- 3. Order the set of triples by the value of *p*, with the largest probabilities fi rst. Call the ordered set *T*.
- 4. Remove the highest-ranked triple $\langle f, a, p \rangle$ from T. Add a to R(u) iff the following conditions are fulfilled:
 - $p \ge p_t$ for some pre-specified threshold value p_t .
 - Addition of a to R(u) results in a set which is consistent with the target model.
- 5. Repeat step (4) until T is empty.

Intuitively, the process is very simple. We just walk down the list of possible semantic atoms, starting with the most probable ones, and add them to the semantic representation we are building up when this does not conflict with the consistency rules in the target model. We stop when the atoms suggested are too improbable, that is, have probabilities below a specifi ed threshold.

Using Regulus and Alterf in Clarissa

We now describe the details of how we have used the Regulus and Alterf platforms in Clarissa. The Clarissa Regulus grammar is composed of the general Regulus grammar and the general function-word lexicon, together with a Clarissa-specific domain lexicon containing 313 lemmas, which realise 857 surface lexical rules. (Most of the difference is accounted for by verbs, which in the Regulus grammar have fi ve surface forms). Table 1 summarizes the data for the domain-specific lexicon.

The general Regulus grammar, the Clarissa lexicon and the Clarissa training examples are used to create a grammar tailored to the Clarissa domain through the grammar specialization process already outlined. This domain specific grammar is then compiled into a Nuance compatible grammar which is used to build the runtime recognition component. The training corpus we use for the current version of the system contains 3297 examples; of these, 1349 have been hand-constructed to represent specific words and constructions required for the application, while the remaining 1953 are transcribed examples of utterances recorded during system development.

The parameters guiding the grammar specialization process have been chosen to produce a fairly "flat" grammar, in which many noun-phrases become lexical items. This reflects the generally stereotypical nature of language in the Clarissa domain. The specialized unification grammar contains 491 lexical and 162 non-lexical rules; Table 2 shows examples of specialized grammar rules, together with associated frequencies of occurrence in the training corpus.

Surface

"no i said go to step fi ve point three"

Logical form

Alterf output

```
[correction, go_to, [decimal,5,3]]
```

Dialogue move

```
correction(go_to([decimal,5,3]))
```

Figure 1: Examples showing different levels of representation for a Clarissa utterance. We show the surface words, the general logical form produced by the Regulus grammar and derived recognizer, the list of semantic atoms produced by Alterf, and the dialogue move.

The specialized grammar is compiled into a PCFG language model containing 427 non-terminal symbols and 1999 context-free productions.

On a 1.7GHz P4 laptop running SICStus 3.8.5, the whole compilation process takes approximately 55 minutes. This divides up as about 30 minutes to parse the training corpus, 10 minutes to extract the specialized grammar from the parsed treebank, 10 minutes to perform unification grammar to CFG language model compilation, and 5 minutes for probabilistic grammar training and Nuance recognizer compilation.

Semantic representations produced by the Clarissa grammar are general domain-independent logical forms. By construction, the same representations are produced by the specialized grammar and the derived recognizer. The Alterf package is used to convert these general representations into unordered lists of semantic atoms; a fi nal post-processing stage transforms Alterf output into the "dialogue moves" used as input by the dialogue manager. Figure 1 shows examples of these different levels of representation.

Recall that the Alterf algorithm requires definition of feature extraction rules, so that it can then trained to acquire associations between extracted features and cooccurring semantic atoms. We have experimented with three different kinds of feature extraction rules: surface N-grams, hand-coded surface patterns and hand-coded logical form patterns.

Surface N-gram features are the simplest type. First, the recognized string is tokenised using a shallow parser and a phrase grammar that identifies numbers, times, durations in minutes and seconds, and a few other similar types of

POS	#Entries		Examples	Example contexts
	Lemmas	Words		
Verb	129	645	continue	"continue"
			go	"go to step three"
			put	"put a voice note on step six"
Noun	99	127	caution	"read caution before step eleven"
			alarm	"list alarms "
			mode	"enter challenge verify mode "
Number	25	25	zero fi ver	"set alarm for ten zero fiver "
Interjection	20	20	copy	"copy go to step three"
Preposition	15	15	on	"give me help on navigation"
Adjective	15	15	skipped	"list skipped steps"
Adverb	10	10	louder	"speak louder "
Total	313	857		

Table 1: Summary information for Clarissa lexicon. For each part of speech, we give the number of lexicon entries, example words, and example contexts.

expression. Bigrams and trigrams are then extracted from the tokenised string. Thus for example the string "go to step fi ve point three" would be tokenised as

When calculating associations, Alterf replaces numbers and similar constructs with generic tokens: after this replacement, the trigrams above become

```
[*start*, go, to]
[go, to, step],
[to, step, *decimal_number*]
[step, *decimal_number*, *end*]
```

Thus in this case Alterf will not derive an association between the trigram [to, step, [decimal,5,3]] and the semantic atom [decimal,5,3], but rather between the generic trigram [to, step, *decimal_number*] and the generic semantic atom *decimal_number*.

Unsurprisingly, we discovered that surface N-gram features were not particularly reliable. We then implemented two more sets of feature extraction rules, which defined different types of hand-coded patterns. The first set consists of conventional phrasal patterns over the tokenised recognition string, written in a simple matching language that encodes regular expressions over tokens. The second set specifies structural patterns in the logical form, encoded as underspecified Prolog terms that are matched, using unification, against all subterms in the LF. Examples of regular-expression and logical-form-based patterns are shown in Figure 2. The version of Clarissa described here has 216 regular-expression patterns and 305 logical-form-based patterns. The patterns have been developed and debugged using the 3297 utterance training corpus: on this

corpus, each set of patterns has a classification error rate of about 0.5%.

Evaluating speech understanding performance

Having described the speech understanding architecture, we now present an evaluation. There are a large number of types of experiment which we could potentially have carried out. Given limited resources, we decided to focus on two main questions:

- How does the Regulus L-PCFG-based framework compare against a more conventional framework using a class N-gram language model and a set of regular expression phrase-spotting rules?
- How do different types of features compare against each other? In particular, are logical-form-based patterns more effective than regular-expression-based or N-gram patterns, and is it useful to combine several types of pattern?

The next issue to resolve is the choice of appropriate performance metrics and test data. Given that we are essentially interested in speech understanding performance, the obvious metric is semantic error rate, by which we will specifically mean the proportion of utterances which fail to receive a correct semantic interpretation after Alterf processing. For completeness, we will also present fi gures for Word Error Rate (WER) and Sentence Error Rate (SER).

The choice of appropriate test data was unfortunately not straightforward. Ideally, we would have liked to test on astronaut subjects, but the virtual impossibility of getting significant quantities of astronaut time forced us to adopt a compromise. We compared the small amount of astronaut data we were able to obtain against the results of a pilot study using naive subjects with no previous exposure to the system, but this revealed a serious mismatch. The astronauts were very familiar both with the procedure-following task and with use of controlled language, and moreover had a strong motivation to learn to use the system; the naive subjects had neither the relevant background, nor any particular reason to want to acquire the relevant skills. The perfor-

Rule	Freq	Example
S> V NP	606	"[delete] [the voice note]"
NP> NUMBER	511	"[one hundred thirty seven]"
ADJ> next	508	"no i said [next]"
NP> step NUMBER	481	"play voice note on [step four]"
SIGMA> INTERJECTION NP	344	"[no i meant] [four point one]"
S> V P NP	321	"[go] [to] [row one]"
S> V NP POST_MODS	295	"[set] [timer] [for two minutes]"
NUMBER> NUMBER point NUMBER	278	"[twenty fi ve] [point] [nine]"
S> V	259	"[speak up]"
POST_MODS> P NP	228	"set alarm [at] [three zero six]"
V> go back	108	"[go back]"
S> V NP NP	78	"[show] [me] [fi gure one]"
NP> the voice note	40	"cancel [the voice note]"
S> V P NP POST_MODS	28	"[go] [to] [the note] [before step one]"
NP> what procedure		"[what procedure] are we on"
S> NP V NP	11	"[what] [is] [the current step]"
V> exit	6	"[exit] review mode"
NP> value	3	"[value] is undefi ned"

Table 2: Examples of rules in specialized version of Clarissa grammar. For each rule we give the context-free skeleton, the frequency of occurrence in the training corpus, and an example.

mance fi gures reflected this imbalance, with the astronauts scoring enormously better than nearly all of the naive subjects.

We obtained a much closer fit against the data recorded by system developers during the course of the project. Although the developers know the system a little better than the astronaut users, our intuitive observation was that the difference was not large, and that the astronauts would probably catch up after only a relatively short period of use. The fi gures below are thus based on a sample of 8158 in-domain utterances (23369 words) collected and transcribed during the course of the project. By "in-domain", we mean here that the utterances expressed commands meaningful in the context of the Clarissa task, and that the system should ideally have responded to them. The data had not previously been used for development purposes, and can be considered as unseen.

In order to compare the Regulus-constructed L-PCFG-based recognizer with an n-gram-based recognizer architecture, we used the Nuance SayAnything© tool and the same 3297 utterance training set to build a standard class n-gram model. We defined three classes, for numbers, times, and for objects that could be displayed using the "show" command. A trigram model was constructed under the default SayAnything© process, using the training sentences to train both the Good-Turing discounting algorithm and the trigram model. Low probability n-grams were pruned.

Raw recognition performance fi gures for the two recognizers, measured in terms of WER and SER, are shown in Table 3.

The main experimental results are presented in Table 4. Here, we contrast speech understanding performance for the Regulus-based recognizer and the class N-gram recognizer, using several different sets of Alterf features. For complete-

Recognizer	WER	SER
L-PCFG	6.27%	9.79%
NGRAM	7.42%	12.41%

Table 3: WER and SER for the Regulus-based recognizer (L-PCFG) and a conventional class N-gram recognizer (NGRAM) trained on the same data.

ness, we also present results for simulated perfect recognition, i.e. using the reference transcriptions. We used six different sets of Alterf features:

N-grams: N-gram features only.

LF: Logical-form-based patterns only.

RegExpr: Regular-expression-based patterns only.

RegExpr + **LF**: Both regular-expression-based and logical-form based patterns.

RegExpr + **N-grams:** Both regular-expression-based and N-gram features.

RegExpr + LF + N-grams: All types of features.

As can be seen, the L-PCFG performs very considerably better than the NGRAM. The best NGRAM version, S-3, has a semantic error rate of 9.6%, while the best L-PCFG version, G-4 has an error rate of 6.0%, a relative improvement of 37%. Part of this is clearly due to the fact that the L-PCFG has better WER and SER than the NGRAM. However, Table 3 shows that the relative improvement in WER is only 15% (7.42% versus 6.27%), and that in SER is 21% (12.41% versus 9.79%). The larger improvement by the L-PCFG version at the level of semantic understanding is most likely accounted for by the fact that it is able to use logical-form-based features, which are not accessible to the NGRAM version. Although logical-form-based features do not appear

Regular-expression-based patterns

```
% ''decrease'' or ''reduce'' followed by ''volume''
% indicates the atom decrease volume
surface_pattern([decrease/reduce,'...',volume], decrease_volume).
% ''back'' not following ''go'' and at the end
% indicates the atom previous_line
surface_pattern([not_word(go),back,'*end*'], previous_line).
% ''put'' followed by ''voice note''
% indicates the atom record voice note
surface_pattern([put,'...',voice,note], record_voice_note).
Logical-form-based patterns
% '`decrease'' or '`reduce'' with object an NP whose head is '`volume''
% indicates the atom decrease volume
lf_pattern([decrease,_,term(_,volume,_)],decrease_volume).
lf_pattern([reduce,_,term(_,volume,_)],decrease_volume).
% ''back'' used as an interjection
% indicates the atom previous_line
lf_pattern([interjection,back],previous_line,back).
% ''put'' with object an NP whose head is ''voice_note''
% indicates the atom record_voice_note
lf_pattern([put,_,term(_,voice_note,_),_],record_voice_note).
```

Figure 2: Examples of regular-expression-based and logical-form-based patterns used in Clarissa.

to be intrinsically more accurate than string-based features (contrast rows T-2 and T-3), the fact that they allow tighter integration between semantic understanding and language modelling is intuitively advantageous.

It is interesting to note that the combination of logical-form-based features and string-based features outperforms logical-form-based features alone (rows G-4 and G-5). Although the difference is small (6.0% versus 6.3%), a pairwise comparison shows that it is significant at the 1% level according to the McNemar sign test. There is no clear evidence that N-gram features are very useful. This supports the standard folk-lore result that semantic understanding components for command and control applications are more appropriately implemented using hand-coded phrase-spotting patterns than general associational learning techniques.

Finally, Table 5 presents a breakdown of speech understanding performance, by utterance length, for the best L-PCFG-based and NGRAM-based versions of the system. There are two main points we want to make here. First, speech understanding performance remains respectable even for the longer utterances; second, the performance of the L-PCFG-based version is consistently better than that of the NGRAM-based version for all utterance lengths.

Conclusion

For this kind of task, there is reasonable evidence that L-PCFG-based recognition methods work better than n-gram

ones. The extra robustness of n-gram methods does not appear to outweigh the fact that the L-PCFG-based approach permits tighter integration of recognition and semantic interpretation. Speech understanding performance was very substantially better with the L-PCFG-based method. We were able to make a clear comparison between the two methods because we used a carefully constructed methodology which built the L-PCFG-based recognizer from a corpus, but there is no reason to believe that other ways of building the grammar-based recogniser would have led to inferior results.

It is encouraging that our results show a similar pattern to previous work on using structured linguistic information in language modeling e.g. (Wang & Harper 2002; Chelba & Jelinek 1998), particularly given substantial differences in the task, (large vocabulary versus restricted language), domain (WSJ versus command and control) and metrics (WER and sentence accuracy versus semantic accuracy). It appears that the advantages of incorporating structured linguistic information in the language model obtain for a variety of speech recognition tasks, and become even more relevant when the measurements of performance are made further downstream in the language processing sequence.

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Version	Rec	Features	Errors			
			Rejected	Incorrect	Total	
T-1	Text	N-grams	7.3%	5.9%	13.2%	
T-2	Text	LF	3.1%	0.5%	3.6%	
T-3	Text	RegExpr	2.2%	0.8%	3.0%	
T-4	Text	RegExpr + LF	0.8%	0.8%	1.6%	
T-5	Text	RegExpr + LF + N-grams	0.4%	0.8%	1.2%	
G-1	L-PCFG	N-grams	7.4%	9.7%	17.1%	
G-2	L-PCFG	LF	1.4%	4.9%	6.3%	
G-3	L-PCFG	RegExpr	2.9%	4.8%	7.7%	
G-4	L-PCFG	RegExpr + LF	1.0%	5.0%	6.0%	
G-5	L-PCFG	RegExpr + LF + N-grams	0.7%	5.4%	6.1%	
S-1	NGRAM	N-grams	9.6%	11.9%	21.5%	
S-2	NGRAM	RegExpr	2.8%	7.4%	10.2%	
S-3	NGRAM	RegExpr + N-grams	1.6%	8.0%	9.6%	

Table 4: Speech understanding performance for 8158 test sentences recorded during development, on 13 different confi gurations of the system. The "Rec" column indicates either simulated perfect recognition ("Text"), recognition using the Regulus-derived L-PCFG-based language model ("L-PCFG") or recognition using a class N-gram language model ("NGRAM"). The "Features" column indicates the Alterf features used.

Length	#Utts	Best L-PCFG (G-4)			Best NGRAM (S-3)		
		WER	SER	SemER	WER	SER	SemER
1	3049	5.7%	3.5%	2.5%	6.3%	4.2%	3.5%
2	1589	12.0%	12.0%	8.7%	14.6%	18.4%	14.6%
3	950	7.2%	12.8%	7.2%	10.4%	15.2%	15.4%
4	1046	7.6%	14.8%	9.9%	7.7%	15.6%	14.7%
5	354	5.7%	14.4%	9.0%	6.1%	19.8%	10.8%
6	543	2.8%	11.1%	7.2%	4.1%	15.3%	9.8%
7	231	3.0%	16.0%	3.5%	4.6%	19.5%	6.5%
8	178	4.4%	14.6%	4.5%	3.6%	16.3%	5.7%
9	174	3.9%	20.1%	9.2%	4.0%	20.7%	10.3%

Table 5: Speech understanding performance, broken down by utterance length, for the best L-PCFG-based and n-gram-based versions of the system (cf. Table 4). Results are omitted for the small group of utterances of length 10 or more.